

TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT

(Under 37 CFR 1.97(b) or 1.97(c))

Docket No.
15129.11

In Re Application Of: Lee Min Lau, et al.

Serial No.
09/755,969

Filing Date
1/5/01

Examiner
Not Yet Assigned

Group Art Unit
Not Yet Assigned

Title: ~~MATCHING AND MAPPING CLINICAL DATA TO A STANDARD~~



Address to:

Assistant Commissioner for Patents
Washington, D.C. 20231

37 CFR 1.97(b)

1. ☒ The Information Disclosure Statement submitted herewith is being filed within three months of the filing of a national application; within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; or before the mailing date of a first Office Action on the merits, whichever event occurs last.

37 CFR 1.97(c)

2. ☐ The Information Disclosure Statement submitted herewith is being filed after three months of the filing of a national application, or the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; or after the mailing date of a first Office Action on the merits, whichever occurred last but before the mailing date of either:

1. a Final Action under 37 CFR 1.113, or
 2. a Notice of Allowance under 37 CFR 1.311,
- whichever occurs first.

Also submitted herewith is:

- ☐ a certification as specified in 37 CFR 1.97(e);

OR

- ☐ the fee set forth in 37 CFR 1.17(p) for submission of an Information Disclosure Statement under 37 CFR 1.97(c).

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Payment of Fee

(Only complete if Applicant elects to pay the fee set forth in 37 CFR 1.17(p))

- ☐ A check in the amount of _____ is attached.
- ☒ The Assistant Commissioner is hereby authorized to charge and credit Deposit Account No. 23-3178 as described below. A duplicate copy of this sheet is enclosed.
- ☐ Charge the amount of _____
- ☐ Credit any overpayment.
- ☒ Charge any additional fee required.

Certificate of Transmission by Facsimile*

I certify that this document and authorization to charge deposit account is being facsimile transmitted to the United States Patent and Trademark Office (Fax. No. _____) on _____ (Date)

Signature

Typed or Printed Name of Person Signing Certificate

Certificate of Mailing by First Class Mail

I certify that this document and fee is being deposited on April 5, 2001 with the U.S. Postal Service as first class mail under 37 C.F.R. 1.8 and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

Signature of Person Mailing Correspondence

John C. Stringham

Typed or Printed Name of Person Mailing Correspondence

*This certificate may only be used if paying by deposit account.

Dated: April 5, 2001

John C. Stringham, Reg. No. 40,831



022913

PATENT TRADEMARK OFFICE

CC:



PATENT APPLICATION
Docket No: 15129.11

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of)
)
 Lee Min Lau, et al.)
)
 Serial No. 09/755,969)
)
 Filed: January 5, 2001)
)
 For: MATCHING AND MAPPING CLINICAL)
 DATA TO A STANDARD)

INFORMATION DISCLOSURE STATEMENT
UNDER 37 CFR § 1.97

Assistant Commissioner for Patents
Washington, DC 20231

Dear Sir:

Please find, pursuant to 37 CFR § 1.98(a)(1), enclosed Form PTO-1449 that contains a list of all patents, publications, or other items that have come to the attention of one or more of the individuals designated in 37 CFR § 1.56(c). While no representation is made that any of these references may be "prior art" within the meaning of that term under 37 CFR §§ 102 or 103, the enclosed list of references is disclosed to fully comply with the duty of disclosure set forth in 37 CFR § 1.56.

Pursuant to 37 CFR § 1.97(g) and (h), Applicant makes no representation that a search has been made or that the information cited is considered to be material to patentability. Additionally, Applicant makes no representation regarding the completeness of this list nor represents that other art does not exist.

In accordance with 37 CFR §§ 1.97 and 1.98, a copy of each of the listed references or relevant portion thereof is also enclosed.

DATED this 5 day of April 2001.

Respectfully submitted,

A handwritten signature in black ink, appearing to read "John C. Stringham", with a long horizontal flourish extending to the right.

JOHN C. STRINGHAM
Attorney for Applicant
Registration No. 40,831

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Applicant: Lee Min Lau, et al.

Serial No.: 09/755,969

Att'y Docket No.: 15129.11

Filing Date: January 5, 2001

For: MATHCING AND MAPPING CLINICAL DATA TO A STANDARD

INFORMATION DISCLOSURE CITATIONS MADE BY APPLICANTU.S. Patent Documents

Examiner <u>Initial*</u>	Patent <u>Number</u>	Issue <u>Date</u>	Name	Class	Sub <u>Class</u>	Filing <u>Date</u>
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NONE

Foreign Patent Documents

Examiner <u>Initial*</u>	Document <u>Number</u>	Publ. <u>Date</u>	Country or <u>Patent Office</u>	Class	Sub <u>Class</u>	Trans- <u>lation</u>
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NONE

Other Documents

(including author (if listed), title, relevant pages, date of publication including at least month and year).

Examiner
Initial*

- _____ A1 Cassin, et al., "Strategic and Management Lessons Learned in the Implementation of a Data Dictionary," Converging Information, Technology, and Health Care, Proceedings of the 2000 AMIA Annual Symposium, 6 pages
- _____ A2 Lee Min Lau, et al., "A Method for the Automated Mapping of Laboratory Results to LOINC," Converging Information, Technology, and Health Care, Proceedings of the 2000 AMIA Annual Symposium, 5 pages
- _____ A3 Wilson, et al., "Issues Encountered While Standardizing Diagnostic Imaging Procedures of Multiple Healthcare Institutions to LOINC," Converging Information, Technology, and Health Care, Proceedings of the 2000 AMIA Annual Symposium, 1 page

Examiner:

Date Considered:

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609, draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Applicant: Lee Min Lau, et al.

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Other Documents (Continued)

(including author (if listed), title, relevant pages, date of publication including at least month and year).

Examiner

Initial*

- _____A4 Shakib, et al., "Challenges of Mapping Microbiology Data to a Common Data Dictionary," Converging Information, Technology, and Health Care, Proceedings of the 2000 AMIA Annual Symposium, 1 page
- _____A5 Huff, et al., "The Impact of Terminology Adoption upon Ourselves and Our Customers: Clinical Software Developer's Perspective," Converging Information, Technology, and Health Care, Proceedings of the 2000 AMIA Annual Symposium, 3 pages
- _____A6 "3M Care Innovation, Healthcare Data Dictionary (HDD)," 3M Health Information Systems, Bulletin # 70-2009-3086-8, 3/00, 2 pages.
- _____A7 SNOMED RT: Results of Beta Test with 23 Organizations, Transforming Health Care Through Informatics: Cornerstones for a New Information Management Paradigm, Proceedings of the 1999 AMIA Annual Symposium, 4 pages
- _____A8 Lee Min Lau, et al., "Applying the Desiderata for Controlled Medical Vocabularies to Drug Information Databases," Transforming Health Care Through Informatics: Cornerstones for a New Information Management Paradigm, Proceedings of the 1999 AMIA Annual Symposium, 5 pages
- _____A9 Lee Min Lau, et al., "Comparing the Mapping of Laboratory Results to LOINC among Different Healthcare Institutions Using a Common Data Dictionary," Transforming Health Care Through Informatics: Cornerstones for a New Information Management Paradigm, Proceedings of the 1999 AMIA Annual Symposium, 1 page

Examiner:

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Other Documents (Continued)

(including author (if listed), title, relevant pages, date of publication including at least month and year).

Examiner

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- _____A10 Huff, et al., "The Impact of Business Issues on Terminology Adoption: Clinical Software Developers' Perspective," Transforming Health Care Through Informatics: Cornerstones for a New Information Management Paradigm, Proceedings of the 1999 AMIA Annual Symposium, 3 pages
- _____A11 "3M Care Innovation, Clinical Data Repository (CDR)," 3M Health Information Systems, Bulletin #70-2009-1895-4, 8/99, 2 pages.
- _____A12 "3M Fact Sheet, 3M Lifetime Data Repository," 3M Health Information Systems, Bulletin #70-2008-8786-0, 8/95, 4 pages.
- _____A13 "Toward a Universal Medical Dictionary: A Solution for Implementing Today's Computer-Based Patient Record," 3M Health Care Report, Vol. V, Issue 2, 1995, pp. 1-8.

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References Cited by Applicants

While the filing of Information Disclosure Statements is voluntary, the procedure is governed by the guidelines of Section 609 of the Manual of Patent Examining Procedure and 37 C.F.R. §§ 1.97 and 1.98. To be considered a proper Information Disclosure Statement, Form PTO-1449 shall be accompanied by a copy of each listed patent or publication or other item of information and a translation of the pertinent portions of foreign documents (if an existing translation is readily available to the applicant), an explanation of relevance of each reference not in the English language, and should be submitted in a timely manner as set out in MPEP Sec. 609.

Examiners will consider all citations submitted in conformance with 37 C.F.R. § 1.98 and MPEP Sec. 609 and place their initials adjacent the citations in the spaces provided on this form. Examiners will also initial citations not in conformance with the guidelines which may have been considered. A reference may be considered by the Examiner for any reason whether or not the citation is in full conformance with the guidelines. A line will be drawn through a citation if it is not in conformance with the guidelines AND has not been considered. A copy of the submitted form, as reviewed by the Examiner, will be returned to the applicant with the next communication. The original of the form will be entered into the application file.

Each citation initialed by the Examiner will be printed on the issued patent in the same manner as references cited by the Examiner on Form PTO-892.

The reference designations "A1," "A2," etc. (referring to Applicant's reference 1, Applicant's reference 2, etc.) will be used by the Examiner in the same manner as Examiner's reference designations "A," "B," "C," etc. on Office Action Form PTO-1142.

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Examiner:

Date Considered:

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609, draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.
